

**UNITED STATES BANKRUPTCY COURT  
SOUTHERN DISTRICT OF NEW YORK**

In re:

LEHMAN BROTHERS HOLDINGS, INC., *et al.*

Debtors.

X : Chapter 11  
: Case No. 08-13555 (SCC)  
: (Jointly Administered)  
: Ref. Docket No. 54388  
X

**AFFIDAVIT OF SERVICE**

STATE OF NEW YORK )  
 ) ss.:  
COUNTY OF NEW YORK )

FORREST KUFFER, being duly sworn, deposes and says:

1. I am employed as a Noticing Coordinator by Epiq Bankruptcy Solutions, LLC, located at 777 Third Avenue, New York, New York 10017. I am over the age of eighteen years and am not a party to the above-captioned action.
2. On January 18, 2017, I caused to be served the "Notice of Defective Transfer," dated January 18, 2017, a sample of which is annexed hereto as Exhibit A, by causing true and correct copies to be enclosed securely in separate postage pre-paid envelopes and delivered via first class mail to those parties listed on the annexed Exhibit B.
3. All envelopes utilized in the service of the foregoing contained the following legend: "LEGAL DOCUMENTS ENCLOSED. PLEASE DIRECT TO THE ATTENTION OF ADDRESSEE, PRESIDENT OR LEGAL DEPARTMENT."

Sworn to before me this  
20<sup>th</sup> day of January, 2017  
/s/ Sidney J. Garabato  
Sidney J. Garabato  
Notary Public, State of New York  
No. 01GA6218946  
Qualified in New York County  
Commission Expires March 15, 2018

/s/ Forrest Kuffer  
Forrest Kuffer

## **EXHIBIT A**

UNITED STATES BANKRUPTCY COURT  
SOUTHERN DISTRICT OF NEW YORK

In re:

LEHMAN BROTHERS HOLDINGS, INC., et al.

Debtors.

Chapter 11

Case No. 08-13555 (SCC)

Jointly Administered

**NOTICE OF DEFECTIVE TRANSFER**

Transferor: UBS AG  
ATTN: HUGO KOLLER  
BAHNHOFSTRASSE 45  
8001 ZURICH, SWITZERLAND

Transferee: REGIOBANK SOLOTHURN AG  
C/O FINANZ-LOGISTIK AG  
ATTN: MARCEL LEDERGERBER  
ROSENBERGSTRASSE 16  
9004 ST. GALLEN  
SWITZERLAND

**Your transfer as presented is defective for the reason(s) checked below:**

- case closed on:
- address missing: (transferor) (transferee)
- signature of transferor missing
- claim number in error
- claim number not stated
- amount of transfer missing in Transfer Agreement
- not FRBP 3001(e)(2) OR (4); claim **NOT** on file
- not FRBP 3001(e)(1) OR (3); claim **ON** file
- notice amount does not match transfer agreement
- cannot docket transfer-claim #
  - [ ] expunged by court order
  - [ ] previously transferred

By document #

**(X)** Other (specify): 3 ISIN from the schedule are incorrect for the claim number (XS0257807874, XS0260769434, XS0290588572).

**Docket Number: 54388**

/s/ Lauren Rodriguez

EPIQ BANKRUPTCY SOLUTIONS, LLC  
as Claims Agent for the Debtor(s).

FOR EPIQ USE ONLY: This notice was mailed to the transferor, transferee, and debtor(s) counsel by first class mail, postage prepaid on January 18, 2017

## **EXHIBIT B**

UBS AG  
ATTN: HUGO KOLLER  
BAHNHOFSTRASSE 45  
8001 ZURICH  
SWITZERLAND

REGIOBANK SOLOTHURN AG  
C/O FINANZ-LOGISTIK AG  
ATTN: MARCEL LEDERGERBER  
ROSENBERGSTRASSE 16  
9004 ST. GALLEN  
SWITZERLAND